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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/930,714	08/15/2001	Anne Kienappel	DE 000121	1661

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PHILIPS INTELLECTUAL PROPERTY & STANDARDS  
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BRIARCLIFF MANOR, NY 10510

EXAMINER

LERNER, MARTIN

ART UNIT	PAPER NUMBER
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2654

DATE MAILED: 05/06/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

**Application No.**

09/930,714

**Applicant(s)**

KIENAPPEL, ANNE

**Examiner**

Martin Lerner

**Art Unit**

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 22 December 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1 to 10 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 1 to 5 and 7 to 8 is/are allowed.
- 6) ☒ Claim(s) 6, 9 and 10 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
- 1) ☒ Certified copies of the priority documents have been received.
  - 2) ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - 3) ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## DETAILED ACTION

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 6, 9, and 10 are rejected under 35 U.S.C. 102(b) as being anticipated by Kohler (*"Language adaptation of multilingual phone models for vocabulary independent speech recognition tasks"*).

Regarding independent claim 6, Kohler (*"Language adaptation of multilingual phone models for vocabulary independent speech recognition tasks"*) discloses adaptation techniques for cross-language transfer, comprising:

"assigning basic phoneme units to the phonemes of the target language, which basic phoneme units are described by respective basic phoneme models which are generated with the aid of available speech data of a source language different from the target language" – "a target language" is German and "a source language" is a model set of any of five languages AE (American English), IT (Italian), FR (French), PT (Portuguese), and SP (Spanish) (Page 419: §3.1 Scenario for cross-language transfer); a method for New-Training SCRATCH for the New Target Language begins with assigning phonetic labels for initialization of models (Page 419: §3.2 Bootstrapping Method for the New Target Language);

“and in which then for each target language phoneme the basic phoneme model of the assigned basic phoneme unit is adapted to the target language while the speech data of the target language are used” – after initialization, a process of six iterations of Viterbi training are performed for phonetic labels (Page 419: §3.2 Bootstrapping Method for the New Target Language); Viterbi-training is an adaptation of training models; alternatively, MAP-Adaptation (MAP) may be used to adapt a model to a new language from a limited amount of training material for 25 to 5000 utterances (Pages 419 to 420: §3.2 Bootstrapping Method for the New Target Language); Language Transfer from FR → GE, IT → GE, PT → GE, SP → GE, AE → GE, and IPA → GE with LDP-models is compared for BASE, BOOT100, and MAP100 adaptation methods (Page 420: §3.3 Language-dependent versus Multilingual bootstrapping: Table 3); implicitly, a limited amount of adaptation data of 25 to 5000 utterances from a target language is used to adapt models from a source language.

Regarding claims 9 and 10, Kohler (*“Language adaptation of multilingual phone models for vocabulary independent speech recognition tasks”*) discloses phoneme models for speech recognition.

#### ***Allowable Subject Matter***

Claims 1 to 5 and 7 to 8 are allowed.

### ***Response to Arguments***

Applicant's arguments filed 22 December 2004 have been considered but are moot in view of the new grounds of rejection, necessitated by amendment.

Firstly, Applicant requests withdrawal of the objection to the Specification, as 37 CFR §1.77(b) discloses only a *suggested* format for an arrangement of the disclosure to require section headings. Applicant's argument is persuasive. It was the intent of the objection to provide an opportunity to conform to standard patent format in the United States. However, Applicant is not required to do so under 37 CFR §1.77(b).

Secondly, Applicant argues that "SAMPA" is a well-known international phonetic alphabet for European languages, and Applicant should not be required to rewrite the acronym in non-abbreviated form. Applicant's argument is persuasive.

It is noted that Wikipedia provides a definition: "Speech Assessment Methods Phonetic Alphabet (SAMPA) is a computer-readable phonetic script using 7-bit printable ASCII characters, based on the International Phonetic Alphabet (IPA)."

Thirdly, Applicant has rewritten claim 6 as an independent claim, removing its dependency from independent claim 1, thereby necessitating a new grounds of rejection pursuant to amendment. Independent claim 6 does not contain any of the limitations of independent claim 1, and is broader than any originally-presented claim, so that independent claim 6 is now equivalent to a new claim. Applicant's arguments, directed to deficiencies of *Kohler* ("*Multi-Lingual Phoneme Recognition Exploiting Acoustic-Phonetic Similarities of Sounds*") ("*Kohler I*"), are moot, as "*Kohler I*" is no longer a basis

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for rejecting new independent claim 6. Now, independent claim 6 is rejected under 35 U.S.C. §102(b) as being anticipated by *Kohler* ("Language adaptation of multilingual phone models for vocabulary independent speech recognition tasks") ("*Kohler II*").

Applicant's arguments are not directed to "*Kohler II*". Claims 9 and 10, dependent upon independent claim 6, are rejected under 35 U.S.C. §102(b) as being anticipated by "*Kohler II*".

Therefore, the rejection of claims 6, 9, and 10 under 35 U.S.C. §102(b) as being anticipated by *Kohler* ("Language adaptation of multilingual phone models for vocabulary independent speech recognition tasks") ("*Kohler II*") is proper.

***Conclusion***

The prior art made of record and not relied upon is considered pertinent to Applicant's disclosure.

Bub et al. ('017) discloses related art.

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

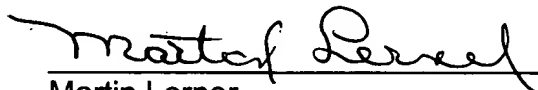
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Martin Lerner whose telephone number is (703) 308-9064. The examiner can normally be reached on 8:30 AM to 6:00 PM Monday to Thursday.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richemond Dorvil can be reached on (703) 305-9645. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

ML  
4/25/05

  
Martin Lerner  
Examiner  
Group Art Unit 2654